

# **Streamlined Request for Qualifications**

**(Electronic Submittal Required)**

Design and Categorical Exclusion III Environmental Services

for

Project No.STP-LC35(153)E  
Herriman City Main Street

**September 7, 2006**  
~~August 23, 2006~~

**UTAH DEPARTMENT OF TRANSPORTATION  
Streamlined Request for Qualifications  
Project No. STP-LC35(153)E; Herriman City Main Street**

**SUMMARY SHEET**

1. Project Number: STP-LC35(153)E
2. Location: Herriman City Main Street
3. ePM PIN No.: 5278
4. Requested Services: Design and Categorical Exclusion III Environmental Services
5. Source(s) of Funding: Federal
6. UDOT Project Administrator:

Alan M. Loiacono  
RFQ Contract Administrator  
Utah Department of Transportation  
Consultant Services  
Box 148490  
4501 South 2700 West  
Salt Lake City, Utah 84119-5998  
801-965-4804  
[aloiacono@utah.gov](mailto:aloiacono@utah.gov)

7. Herriman City Project Management:

Rod Brocious  
Herriman City Engineer  
13011 South Pioneer Street  
Herriman, UT 84065  
801-446-5323  
[rbrocious@herriman.org](mailto:rbrocious@herriman.org)

8. UDOT Project Management:

John Montoya  
Region Two Project Manager  
Utah Department of Transportation  
Region 2  
2010 South 2760 West  
Salt Lake City, UT 84104  
801-887-3409  
[johnmontoya@utah.gov](mailto:johnmontoya@utah.gov)

9. Advertisement Dates: Saturdays, Two Consecutive Saturday August 26 & September 2, 2006.

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10. Streamlined Statement of Qualifications (SOQ) Due Date: **Monday, September 11, 2006.**

Submit an electronic PDF file of the SOQ to Alan Loiacono by email at [aloiacono@utah.gov](mailto:aloiacono@utah.gov) prior to 11:00 a.m. on Monday, September 11, 2006. You will receive an email acknowledgment of receipt.

**Streamlined SOQ's will not be accepted after the 11:00 a.m. deadline.**

11. Type of Streamlined SOQ Required: In accordance with "Utah Department of Transportation Guidelines for Preparing Streamlined Statement of Qualifications".

The Statement of Qualifications has a maximum page-limit of **FOUR** pages.

12. UDOT Selection Team Meeting: Tuesday, September 19, 2006.

13. Optional Oral Interviews Date: Most Streamlined RFQ selections will be based on the Streamlined SOQ scores. However, if the Selection Team determines it is necessary to have interviews in order to make a selection, interviews will be held on Friday, September 29, 2006.

14. Notice to Proceed Date: TBD

15. Project Completion Date: 12 months from Notice to Proceed

16. Remarks: The sample charts, *Project Organization Chart* and *Related Experience Chart* are available on the UDOT Web site [udot.utah.gov](http://udot.utah.gov) under "Inside UDOT > Internal Groups and Divisions > Project Development > Consultant Services > Forms" or [udot.utah.gov/index.php?m=c&tid=287](http://udot.utah.gov/index.php?m=c&tid=287).

## **Consultant Selection Schedule**

<b>Date</b>	<b>Day</b>	<b>Action</b>
8/26/06	Saturday	Advertisement of Streamlined RFQ in newspapers
8/28/06	Monday	Posting of Streamlined RFQ on UDOT Consultant Services Project Advertisement website
9/2/06	Saturday	2 <sup>nd</sup> Advertisement of Streamlined RFQ in newspapers
9/11/06	Monday	Streamlined Statements of Qualifications are due electronically by 11:00 a.m.
9/19/06	Tuesday	UDOT Selection Team Meeting
9/29/06	Friday	UDOT Consultant Selection Interviews
9/29/06	Friday	Consultant Selection

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**Appendix B:** *Proposed Key Personnel to Be Used on UDOT Project Form*

The Form and an example of the completed form along with further descriptions of the column headings are available on the UDOT Website [udot.utah.gov](http://udot.utah.gov) under “Inside UDOT > Internal Groups and Divisions > Project Development > Consultant Services > Forms” or [udot.utah.gov/index.php?m=c&tid=287](http://udot.utah.gov/index.php?m=c&tid=287) .....16

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**ADVERTISEMENT**

**NOTICE OF CONSULTANT SERVICES**

Herriman City and the Utah Department of Transportation (UDOT) are seeking the services of a qualified Consultant to Design and provide Categorical Exclusion III Environmental Services for Project No. STP-LC35(153)E; Herriman City Main Street in Salt Lake County.

If you are interested in submitting a Streamlined Statement of Qualifications, information on the Streamlined Request for Qualifications and Guidelines for Preparing a Streamlined Statement of Qualifications will be available Monday, August 28, 2006 and may be obtained from the Utah Department of Transportation Web site [udot.utah.gov](http://udot.utah.gov) under "Inside UDOT > Internal Groups and Divisions > Project Development > Consultant Services > Project Advertisements" or [udot.utah.gov/index.php?m=c&tid=614](http://udot.utah.gov/index.php?m=c&tid=614). **The deadline for submitting the Statement is 11:00 a.m. on Monday, September 11, 2006.** The submittal method will be electronic PDF file via email. The right is reserved by the Department to reject any and all Statements of Qualifications.

The Utah Department of Transportation encourages prime consultants to use DBE/WBE's as sub-consultants where practicable.

August 26, 2006

Utah Department of Transportation  
John R. Njord  
Executive Director

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Introduction - See **Appendix C**, which includes:

- Scope of Work (Objectives and Tasks)
- QC/QA Plan Requirements
- Department Furnished Items

Project Dates:

Consultants are required to meet the dates set for the **optional** oral interviews and negotiation meeting. Consultants are also advised to meet the information submittal dates outlined in the summary sheet. Failure to meet these dates will be considered non-responsive.

Required Key Personnel Qualifications:

The Consultant shall be responsible to ensure that all personnel proposed under this Streamlined Request for Qualifications (Streamlined RFQ) be qualified through training, experience, and appropriate certification for the tasks assigned and shall have a working knowledge of Department standard practices.

The Consultant is expected to complete the form, *Proposed Key Personnel to Be Used on UDOT Project* (attached as **Appendix B** to this Streamlined RFQ). The Appendix B should state the certification and education levels of the individuals proposed for use on this contract including sub-consultants' personnel. **The completed form must be included in statements but will not count as one of the allowed pages.**

Required Availability of Key Personnel:

When Consultants list personnel on Appendix B *Proposed Key Personnel to Be Used on UDOT Project* Form, the Consultant is agreeing to make the personnel available to complete work on the contract at whatever level the project requires.

Required Percentage of Work for Prime Consultant:

The Consultant must perform work valued at not less than **60%** of the total work, excluding specialized services, with its own staff. Specialized services are those services or items that are not usually furnished by a consultant performing the particular type of service contained in this Streamlined RFQ.

Required Completion and Acceptance Criteria:

Progress payments will be made with a five-percent retainage of the invoiced amount for work in progress. Final payment, including any retainage, shall be made after all of the work has been completed and the final estimate, project records, and documentation have been received and accepted by the Utah Department of Transportation as accurate and complete. Penalties may be assessed for failure to perform in a satisfactory manner.

Applicable Federal and State Regulations:

The Consultant shall conform to all applicable state and federal regulations.

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Debarment Certification:

Federal regulations require certification by prospective participants (including contractors, subcontractors, and principals) as to current history regarding debarment, eligibility, indictments, convictions, or civil judgments. The selected Consultant will be required to certify in accordance with contract Standard Terms and Conditions.

Authorization to Begin Work:

Notice to proceed will be given by Consultant Services as soon as the contract is approved and signed by all parties and returned to Consultant Services.

Required Statement Contents:

The Statement from the Consultant should contain the information identified in the attached *Utah Department of Transportation Guidelines for Preparing Streamlined Statement of Qualifications*.

Statement Evaluation Procedures:

The Statement shall be evaluated by a Department Selection Team in accordance with the criteria described in the *Utah Department of Transportation Guidelines for Preparing Streamlined Statement of Qualifications*.

Conditions of Proposal:

All costs related to the preparation of the Statement and any related activities such as interviews are the sole responsibility of the Consultant. The Department assumes no liability for any costs incurred by Consultants throughout the entire selection process.

Disposition of Statements:

Statements become the property of the Utah Department of Transportation, are treated as privileged documents, and are disposed of according to Department policies, including the right to reject all statements. The statement of the successful Consultant shall be open to public inspection for a period of one year after award of the contract. Statements of Consultants who are not awarded contracts shall not be open to public inspection and will be destroyed once the contract is executed with another consultant.

If the Consultant selected for award has required in writing the nondisclosure of trade secrets and other proprietary data so identified, the Consultant Services Manager shall examine the request in the statement to determine its validity prior to award of the contract. If the parties do not agree as to the disclosure of data in the contract, the Consultant Services Manager shall inform the Consultant in writing what portion of the statement will be disclosed and that, unless the Consultant withdraws the statement, it will be disclosed. If the Consultant withdraws their Statement, the Consultant will not be awarded the contract.

Ownership of Documents: All tracings, plans, manuscripts, specifications, data, maps, etc. prepared or obtained by the Consultant as a result of working on this contract, shall be delivered to and become the property of the Department.



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Financial Screening:

The Department requires that Consultants be Financially Screened prior to performing work for UDOT. **If a Consultant is selected and has not been financially screened and approved within two weeks after selection, the Consultant will be disqualified unless the delay is due to problems or delays by UDOT.**

The time it takes a Consultant to complete the Financial Screening process varies and therefore the Department encourages Consultants to submit their *Financial Screening Application* as soon as possible.

Consultants may obtain the *Financial Screening Application* from the UDOT Web site [udot.utah.gov](http://udot.utah.gov) under "Inside UDOT > Internal Groups and Divisions > Project Development > Consultant Services > Forms" or [udot.utah.gov/index.php?m=c&tid=287](http://udot.utah.gov/index.php?m=c&tid=287). For questions, contact the Consultant Services Accountant at 801-965-4138. A Consultant's Financial Screening status is effective for the period of one year from the time the Consultant is approved.

Preaward Audit:

In the event that a proposing consultant has failed to pay UDOT monies due to the Department for over payment on past projects, UDOT has the right to reject and/or disqualify the firm's statement of qualifications. Disqualification will be based on the audit findings, determinations, and recommendations made by the Department's authorized agent.

Insurance Certificates:

The Consultant is required to provide the Department with Certificates of Insurance referencing the project naming the Utah Department of Transportation and the State of Utah as additional insureds.

Subscription to the UDOT Consultant Services Update Service:

The Department recommends Consultants interested in proposing a Statement of Qualifications subscribe to the UDOT Consultant Services Update Service on the UDOT Web site [udot.utah.gov](http://udot.utah.gov) under "Doing Business > E-mailing Lists" or [udot.utah.gov/index.php?m=c&tid=548&type=1&item=2048&d=full](http://udot.utah.gov/index.php?m=c&tid=548&type=1&item=2048&d=full).

**If there are any changes affecting the Streamlined Request for Qualifications, notice will be sent out via an e-mail through the update service.**

Consultant and/or Corporate Logos or Branding

Consultant and/or corporate logos or branding identification may no longer be displayed in **public** documents or products produced for UDOT beginning July 1, 2005. It is UDOT's intent that consultants should place identifying information, in text format, in appropriate places in documents. This requirement does not apply to Statements of Qualifications. For specific questions or further guidance, please contact Gaye Hettrick, Consultant Services Manager, 801-965-4639 or [ghettrick@utah.gov](mailto:ghettrick@utah.gov).

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Consultants and/or corporations are specifically restricted from placing logos or branding on the following items:

- Plan Sheets or Title Blocks;
- Environmental Documents;
- Standard UDOT Forms;
- Project Websites;
- Cover Pages;
- Headers/Footers; and,
- Information and Display Boards for Public Meetings.

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## **Appendix A**

### **Guidelines for Preparing Streamlined Statement of Qualifications**

#### **INTRODUCTION**

These guidelines were developed to standardize the preparation of a Streamlined Statement of Qualifications (Streamlined SOQ) by Consultants for engineering services on a project. Submitting a Streamlined SOQ is the beginning of the selection process and is used as the basis for selecting or for short listing Consultants. If the Department determines interviews are necessary prior to selection, a minimum of two and a maximum of five Consultants will be short-listed and invited to an interview by the Department.

The purpose for these guidelines is to assure consistency in format and content in the Streamlined SOQ prepared by Consultants and submitted to the Department. Preparing a Streamlined SOQ instead of a detailed proposal reduces the time requirements for the Consultants and simplifies the review process for Department personnel.

#### **ELECTRONIC SUBMITTAL**

The Department's goal is to migrate to electronic processes wherever possible. Consultant Services intends to require all Streamlined RFQ's to be submitted solely by electronic means.

#### **STREAMLINED SOQ SECTIONS**

**The Streamlined Statement of Qualifications should contain the following sections in the order listed:**

1. Introductory Letter
2. Project Team
3. Capability of the Consultant
4. Appendix B

#### **STREAMLINED SOQ EVALUATION CRITERIA**

The Streamlined SOQ evaluation criteria are listed below in red.

1. Introductory Letter – The introductory letter should be addressed to:

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Alan Loiacono  
RFQ Contract Administrator  
UDOT Consultant Services  
4501 South 2700 West  
Salt Lake City, UT 84119-5998

In **one page**, express your interest in the project, state qualifications to do the work, and recount any summary information on the project team or yourself that may be useful or informative to the Department.

Include the mailing and e-mail addresses and the phone number of the primary contact person for this consultant selection process in the introductory letter.

**No evaluation points are assigned to this section and the introductory letter will not count as one of the allowed pages.**

2. Project Team -- The Selection Team will evaluate how well the qualifications and experience of the members of the project team relate to the specific project. The Department recommends the following information be provided.
- Project team flow charts including sub-consultants (see sample *Project Organization Chart* available on the UDOT Web site [udot.utah.gov](http://udot.utah.gov) under “Inside UDOT > Internal Groups and Divisions > Project Development > Consultant Services > Forms” or [udot.utah.gov/index.php?m=c&tid=287](http://udot.utah.gov/index.php?m=c&tid=287) under *Project Organization Chart and Related Experience Charts*.)
  - Describe the qualifications, experience, and availability of key personnel on your project team. (NOTE: Do not include percentages of availability as this may be misinterpreted.)
  - Provide a spreadsheet list of projects you have **completed** during the last five years. The heading of the spreadsheet may include the following (see sample *Related Experience* spreadsheet form available on the UDOT Web site [udot.utah.gov](http://udot.utah.gov) under “Inside UDOT > Internal Groups and Divisions > Project Development > Consultant Services > Forms” or [udot.utah.gov/index.php?m=c&tid=287](http://udot.utah.gov/index.php?m=c&tid=287) under *Project Organization Chart and Related Experience Charts*. Note: Columns may be combined in order to meet the font size and margin requirements.)
    - Name of Project Manager
    - Year
    - Type of Project
    - Project Name
    - Project Location
    - Project Description
    - Construction Estimate Cost - \$Million

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- Services Performed
- Client
- Reference Contact and Telephone Number

A maximum of 50 points is available for this section.

3. Capability of the Consultant – The Selection Team will evaluate the Consultant's capability to perform the work.

- Describe your firm's capability to perform the work.
- Describe any unique qualifications your firm has to perform this type of work.
- Describe your firm's internal quality and cost control procedures.

A maximum of 50 points is available for this section.

4. Appendix B - The Consultant is expected to complete the form, *Proposed Key Personnel to Be Used on UDOT Project* (attached as **Appendix B** to this Streamlined RFQ). The Appendix B should state the certification and education levels of the individuals proposed for use on this contract including sub-consultants' personnel. **The completed form must be included in Streamlined SOQ's but will not count as one of the allowed pages.**

When Consultants list personnel on Appendix B *Proposed Key Personnel to Be Used on UDOT Project* Form, the Consultant is agreeing to make the personnel available to complete work on the contract at whatever level the project requires.

**STREAMLINED SOQ FORMAT REQUIREMENTS**

It is very important that submittals be clear, concise, and in the recommended format so they may be evaluated in an objective manner by the Department's Selection Team.

1. **Black & White Only** – (Exception: Letterhead may be in color.)
2. **8½ x 11 Size Paper Only** – (Refer to No. 10 of Streamlined SOQ Format Requirements for further details.)
3. **One (1") Margins** – (Exceptions: Consultant Name/Logo and Page Headers/Footers may be within margin.)
4. **10 Pt Font and 12 Pt Line Spacing, Minimums** – (The minimum font size is 10 point font or greater everywhere in SOQ including graphics, unless the graphics are a duplication from another source and the source is referenced. The minimum line spacing is 12 point.)
5. **Charts, Graphs, and Pictures** – (Optional and counted as page(s))
6. **Page Headers/Footers** – (May be within 1" margins; Include Project Number, Project Location/Description, and Current Date.)

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7. **No Additional Front or Back Page Allowed** – (Introductory Letter Is Top Page).
8. **Appendix B is required** – (Appendix B will not count towards the page maximum.)

A maximum total of 100 points is available for the Streamlined Statement of Qualifications. **A one-point penalty will be assessed by Consultant Services for each applicable violation of the above (#1 through #8) format requirements for a maximum 8-point penalty per Streamlined SOQ.**

9. **Electronic PDF Submittal** – Submit a PDF file of the SOQ to Alan Loiacono at [aloiacono@utah.gov](mailto:aloiacono@utah.gov).
10. **Four (4) Page Maximum** (Introductory Letter and Appendix B do not count towards the page maximum.)

A page is defined as a single-sided 8.5" x 11" sized sheet that contains text, pictures, tables, graphs, charts, plan sheets, or any other graphics.

The Introductory Letter and Appendix B will not count towards the page maximum.

**Any Streamlined SOQ that is not submitted electronically or exceeds the four-page maximum will be disqualified by Consultant Services and will not be reviewed by the Department Selection Team.**

#### UDOT SELECTION TEAM

The Selection Team members will receive copies of each SOQ submitted. They will review and score the SOQ's individually based on the evaluation criteria and submit their scores and comments to the Project Administrator. The Administrator will tally and compile the scores and comments. The Selection Team may then meet to discuss the scores and comments and determine whether interviews are necessary or whether the selection may be made based on the scores from the SOQ's.

Most Streamlined RFQ selections will be based on the Streamlined SOQ scores. However, if the Selection Team determines it is necessary to have interviews in order to make a selection, the members will develop the format of the interviews in the Selection Team Meeting by completing the *Interview Format Worksheet*.

#### SELECTION INTERVIEWS

If the Department Selection Team determines interviews are necessary, the following project-specific topics may be some of the issues discussed.

- Understanding of the Work
- Approach to the Project

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- Schedule Control
- Management of Project

**“SELECTING BY CONSENT” PROCESS**

The final selection process will be performed using the “Selecting by Consent” (SBC) process developed by the Consultant Selection Interview Process Quality Improvement Team officially implemented August 12, 2004.

The SBC process is a scoring process that aids the Selection Team in developing the final ranking of consultants through a collaborative process. In this process each segment and question of the interview is weighted in advance during the Selection Team Meeting. After the interviews are conducted, the Selection Team scores each segment and question by consent. Consent is defined as the willingness of all Selection Team members to accept a decision reached by a collaborative process. The final selection ranking of consultants is based on the final scores developed by the Selection Team using the *Interview Scores* spreadsheet.

For more information regarding this process and copies of the *Interview Format Worksheet* and *Interview Scores* forms, see the UDOT Web site [udot.utah.gov](http://udot.utah.gov) under “Inside UDOT > Internal Groups and Divisions > Project Development > Consultant Services > Forms” or [udot.utah.gov/index.php?m=c&tid=287](http://udot.utah.gov/index.php?m=c&tid=287).

**SUMMARY**

The Streamlined Statement of Qualifications (SOQ) should be clear, concise, and it should provide the Department's Selection Team Members with an understanding of the Consultant's and Sub-consultants' ability to undertake and complete the proposed project in a thorough and timely manner.

## Appendix B

### Proposed Key Personnel to Be Used On UDOT Project

Name	Firm Name	Title (Within firm and/or proposed on project)	Certification Category/Level	Utah License/ Certification No.	Other State License/ Certification No.	Education Level

Include all key personnel who are proposed to work on UDOT project including sub-consultants. Add additional pages if needed.

The Form and an example of the completed form along with further descriptions of the column headings are available on the UDOT Website [udot.utah.gov](http://udot.utah.gov) under "Inside UDOT > Internal Groups and Divisions > Project Development > Consultant Services > Forms" or [udot.utah.gov/index.php?m=c&tid=287](http://udot.utah.gov/index.php?m=c&tid=287).



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## **Appendix C**

### **A. SCOPE OF WORK**

This scope of work will account for the entire design for the reconstruction and/or rehabilitation of the roadway from 6200 West to 5600 West along Herriman Main Street.

The scope of work will include preliminary design, utility location, ~~environmental documentation~~, development of design criteria document, public involvement plan, project team meetings, site visits, final design, assisting in advertising the project and technical support for construction.

Alternative roadway alignments (both horizontal and vertical) will need to be evaluated to find an optimum alignment to meet project needs and current UDOT and AASHTO standards. Depending on the final alignment selected, there may be a need for additional Right-of-Way from adjacent landowners. Preparation of plans and documents pertaining to ROW may be included with this contract.

It is anticipated that a Level II or III Categorical Exclusion will be required on this project, however the environmental study is not part of this contract. The environmental documentation will be contracted as a separate contract between Herriman City and the Engineering Consultant and will not be part of this contract. Complete environmental documentation will be required. Documentation includes but is not limited to: cultural, historical, and paleontological resources, wetlands and waters of the United States, wildlife, and T&E Species.

Geotechnical investigation and analysis may be necessary and will be determined during the preliminary design phase. Drilling, coring, and evaluation of some specific sites may be required.

The use of Context Sensitive Solutions (CSS) will be required. UDOT expects that the principles of CSS will be utilized for the design of the project.

Preparation of a Public Involvement Plan will be required. Local involvement from Herriman City is expected. Several informational meetings and work sessions with the city will be required.

### **B. QC/QA Plan Requirements**

- The Consultant will prepare, distribute, and implement the Quality Control/Quality Assurance Plan for the project. The Department has adopted new QC/QA

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standards and the consultant must meet or exceed these requirements. The Standard may be found on the UDOT Web site [udot.utah.gov](http://udot.utah.gov) under “Doing Business > Consultant and Designer Resources > Quality Control/Quality Assurance” or [udot.utah.gov/index.php/m=c/tid=650](http://udot.utah.gov/index.php/m=c/tid=650).

- Document Control: All documents will be maintained in both an electronic and hard copy form. Each document will have a uniquely specific location in both electronic and hard copy formats.

## **C. Department Furnished Items**

- UDOT Standards, Policies, and Reference Materials (available online at the UDOT Web site [udot.utah.gov](http://udot.utah.gov) under “Doing Business > Standards, Policies, and Reference Materials” or [udot.utah.gov/index.php?m=c&tid=77](http://udot.utah.gov/index.php?m=c&tid=77))
- UDOT Consultant Services Manual of Instruction (available online at the UDOT Web site [udot.utah.gov](http://udot.utah.gov) under “Inside UDOT > Internal Groups and Divisions > Project Development > Consultant Services > Manuals” or [udot.utah.gov/index.php?m=c&tid=615](http://udot.utah.gov/index.php?m=c&tid=615))